



UNITED STATES PATENT AND TRADEMARK OFFICE

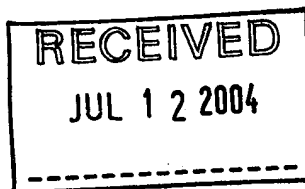
UNITED STATES DEPARTMENT OF COMMERCE  
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IFW\$

| APPLICATION NUMBER | FILING OR 371 (c) DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|------------------------|-----------------------|------------------------|
| 10/825,685         | 04/16/2004             | Suning Wang           | 2002-033-03US          |

CONFIRMATION NO. 8860

Carol Miernicki Steeg  
 PARTEQ Innovations  
 Room 1625, Biosciences Complex  
 Queen's University at Kingston  
 Kingston, ON K7L 3N6  
 CANADA



## FORMALITIES LETTER



\*OC000000013078177\*

Date Mailed: 06/28/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/31/2004 SZEWDIE1 00000003 170110 10825685

FILED UNDER 37 CFR 1.53(b)

01 FC:2001 385.00 DA  
 02 FC:2051 65.00 DA  
 03 FC:2201 129.00 DA  
 04 FC:2202 261.00 DA  
 05 FC:2203 145.00 DA

*Filing Date Granted*Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 385 to complete the basic filing fee for a small entity.*
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of **\$553** as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$1003** for a Small Entity

- **\$385** Statutory basic filing fee.
- **\$65** Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is **\$553**

- \$129 for 3 independent claims over 3.
- \$279 for 31 total claims over 20.
- \$145 for multiple dependent claim surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice MUST be returned with the reply.*

BINH

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: WANG, Suning, *et al.*  
Serial Number: 10/825,685  
Filed: April 16, 2004  
Title: Organic Luminescent Compounds and Methods of Making and  
Using Same  
Art Unit: 1774  
Confirmation No.: 8860  
Agent Ref. No.: 2002-033-03US

Assistant Commissioner for Patents  
Washington, D.C.  
20231

August 26, 2004

**REPLY TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

Dear Sir,

This is in reply to the Notice to File Missing Parts of Nonprovisional Application dated June 28, 2004.

Applicants enclose the following documents:

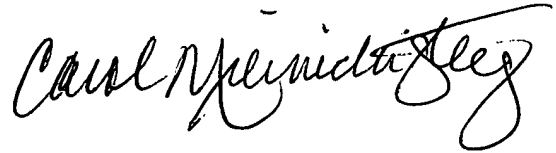
- 1) Copy of Notice to File Missing Parts of Nonprovisional Application;
- 2) Declaration/Power of Attorney executed by the inventors; and
- 3) Fee Transmittal Form.

Applicants believe that the amount of the additional claim fee reported on the Notice to File Missing Parts of Nonprovisional Application is in error. Applicants believe that the appropriate amount is \$535.00 and not \$553.00 and have authorized on the fee transmittal form the deduction of this amount from our Deposit Account. However, if this belief is in error, authorization to deduct any additional fees which may be required from our Deposit Account No. 17-0110 is hereby given.

Accordingly, authorization to deduct the Filing Fee (\$385.00), the additional claim fees (\$535.00), and the late Declaration surcharge (\$65.00) from our Deposit Account is provided on the enclosed Fee Transmittal Form. Authorization to deduct any additional fees which may be required from our Deposit Account No. 17-0110 is hereby given.

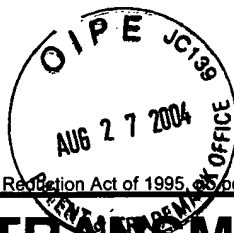
Inquiries concerning this application may be directed to the undersigned agent or (Stephen J. Scribner, Reg. No. 44,452) at 613-533-2342.

Respectfully submitted,

A handwritten signature in black ink, reading "Carol Miernicki Steeg". The signature is written in a cursive, flowing style with a large, prominent 'C' and 'S'.

Carol Miernicki Steeg  
Reg. No. 39,539

PARTEQ Innovations  
Queen's University at Kingston  
Kingston, Ontario  
Canada K7L 3N6



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 985

## Complete if Known

|                      |                |
|----------------------|----------------|
| Application Number   | 10/825,685     |
| Filing Date          | April 16, 2004 |
| First Named Inventor | WANG, Suning   |
| Examiner Name        |                |
| Art Unit             | 1774           |
| Attorney Docket No.  | 2002-033-03US  |

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number  
Deposit Account Name

17-0110

PARTEQ Innovations

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid  |
|--------------|----------|--------------|----------|------------------------|-----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |           |
| 1001         | 770      | 2001         | 385      | Utility filing fee     | 385       |
| 1002         | 340      | 2002         | 170      | Design filing fee      |           |
| 1003         | 530      | 2003         | 265      | Plant filing fee       |           |
| 1004         | 770      | 2004         | 385      | Reissue filing fee     |           |
| 1005         | 160      | 2005         | 80       | Provisional filing fee |           |
| SUBTOTAL (1) |          |              |          |                        | (\$ ) 385 |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 49                 | -20** = 29   | 9              | 261      |
| Independent Claims | 6            | -3** = 3       | 43       |
| Multiple Dependent |              |                | 145      |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 86       | 2201         | 43       | Independent claims in excess of 3                          |
| 1203         | 290      | 2203         | 145      | Multiple dependent claim, if not paid                      |
| 1204         | 86       | 2204         | 43       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ ) 535

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 1051         | 130      | 2051         | 65       | Surcharge - late filing fee or oath  | 65       |
| 1052         | 50       | 2052         | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053         | 130      | 1053         | 130      | Non-English specification  |          |
| 1812         | 2,520    | 1812         | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1804         | 920*     | 1804         | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805         | 1,840*   | 1805         | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251         | 110      | 2251         | 55       | Extension for reply within first month                                     |          |
| 1252         | 420      | 2252         | 210      | Extension for reply within second month                                    |          |
| 1253         | 950      | 2253         | 475      | Extension for reply within third month                                     |          |
| 1254         | 1,480    | 2254         | 740      | Extension for reply within fourth month                                    |          |
| 1255         | 2,010    | 2255         | 1,005    | Extension for reply within fifth month                                     |          |
| 1401         | 330      | 2401         | 165      | Notice of Appeal   |          |
| 1402         | 330      | 2402         | 165      | Filing a brief in support of an appeal                                     |          |
| 1403         | 290      | 2403         | 145      | Request for oral hearing   |          |
| 1451         | 1,510    | 1451         | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452         | 110      | 2452         | 55       | Petition to revive - unavoidable   |          |
| 1453         | 1,330    | 2453         | 665      | Petition to revive - unintentional   |          |
| 1501         | 1,330    | 2501         | 665      | Utility issue fee (or reissue)   |          |
| 1502         | 480      | 2502         | 240      | Design issue fee   |          |
| 1503         | 640      | 2503         | 320      | Plant issue fee  |          |
| 1460         | 130      | 1460         | 130      | Petitions to the Commissioner  |          |
| 1807         | 50       | 1807         | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806         | 180      | 1806         | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021         | 40       | 8021         | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809         | 770      | 2809         | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810         | 770      | 2810         | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801         | 770      | 2801         | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802         | 900      | 1802         | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 65

## SUBMITTED BY

Name (Print/Type) Carol Miernicki Steeg

Registration No.  
(Attorney/Agent)

39,539

(Complete if applicable)

Telephone 613-533-2342

Signature

Date

August 26, 2004

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.  
**SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.